



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
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10/036,332

12/24/2001

Wang

12860-E P CIP

12860-E CIP

CONFIRMATION NO. 3250

FORMALITIES LETTER



OC000000007393759

Intellectual Property Services
Battelle Memorial Institute
Pacific Northwest Division
P.B. Box 999
Richland, WA 99352



DDO: 3/30/02

Docket ☒ N sm
Database ☒ N sm
Debt ☒ Y sm
Number N/A

Date Mailed: 01/30/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

02/05/2002 SDIRETA1 00000015 021275 10036332

FILED UNDER 37 CFR 1.53(b)

01 FEB 01 740.00 CH
02 FEB 01 130.00 CH
03 FEB 01 198.00 CH
04 FEB 01 252.00 CH

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$450.
 - \$198 for 11 total claims over 20.
 - \$252 for 3 independent claims over 3.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1320.

*A copy of this notice **MUST** be returned with the reply.*

ST. Peters

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

RECEIVED
FEB 07 2002
I.P. SERVICES



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:)
)
Yong Wang, et al.) Art Unit: 1754
)
Serial No: 10/036,332) Examiner:
)
Filed: December 24, 2001) File No: 12860-E CIP
)
For: CARBON NANOTUBE-) Date: March 13, 2002
CONTAINING STTUCTURES,)
METHODS OF MAKING, AND)
PROCESSES USING SAME)

RESPONSE TO NOTICE TO FILE MISSING PARTS

Box MISSING PARTS
Commissioner for Patents
Washington, D.C. 20231

Responsive to the Notice to File Missing Parts of Application Filing Date Granted dated
January 30, 2002, please find enclosed:

- (a) a copy of form PTO-FORMALITITES LETTER (part 2),
- (b) an executed Combined Declaration and Power of Attorney,
- (c) an Assignment,
- (d) a Request for Correction of Filing Receipt,
- (e) an Information Disclosure Statement with References,
- (f) a return receipt postcard

A fee sheet is also enclosed authorizing payment of the fee amounting to \$1320.00 by charging
deposit account 02-1275.

Respectfully submitted,

Stephen R. May
Reg. No. 29,255

Stephen R. May (K1-53)
Intellectual Property Services
Battelle Memorial Institute
Pacific Northwest Division
P.O. Box 999
Richland, WA 99352
(509) 375-2387



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Initial Application of:

Yong Wang, et al.

Serial No: 10/036,332

Filed: December 24, 2001

For: CARBON NANOTUBE-
CONTAINING STRUCTURES,
METHODS OF MAKING, AND
PROCESSES USING SAME

)
)
) Art Unit: 1754
)
) Examiner:
)
) File No: 12860-E CIP
)
) Date: March 13, 2002
)
)
)

CERTIFICATE OF MAILING

Box MISSING PARTS
Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

The undersigned hereby certifies that the attached:

- ☒ Response to Notice to File Missing Parts
- ☒ PTO-FORMALITIES LETTER
- ☒ Request for Correction of Filing Receipt
- ☒ Fee Transmittal (2 ea)
- ☒ Assignment / Transmittal
- ☒ Combined Declaration and Power of Attorney
- ☒ Information Disclosure Statement with References

are being deposited with the United States Postal Service as:

- ☒ First Class Mail
- ☐ Express Mail – Label # _____

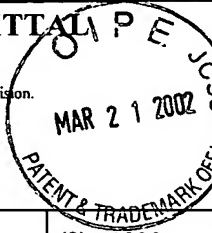
in an envelope addressed to the Commissioner for Patents, Washington, D.C. 20231, on the date set forth below.

Rebecca B. Rupp
Signature

March 13, 2002
Date Deposited

Rebecca B. Rupp (K1-53)
Intellectual Property Services
Battelle Memorial Institute
Pacific Northwest Division
P.O. Box 999
Richland, WA 99352
(509) 375-2536

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL For FY 2002 Patent fees are subject to annual revision.		<i>Complete If Known</i>		
		Application Number	10/036,332	
		Filing Date	Dec. 24, 2001	
		First Named Inventor	Wang	
		Examiner Name	not yet assigned	
		Group/Art Unit	1754	
TOTAL AMOUNT OF PAYMENT	(\$)	1320	Attorney Docket No.	12860E-CIP

METHOD OF PAYMENT (check one) 1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to: Deposit Account Number: <u>02-1275</u> Deposit Account Name: <u>Battelle Memorial Institute - PND</u> <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17 <input type="checkbox"/> Applicant claims small entity status 2. Payment Enclosed: <input type="checkbox"/> check <input type="checkbox"/> Money Order <input type="checkbox"/> Other		FEE CALCULATION (continued) 3. ADDITIONAL FEES <table border="1"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>105 130</td> <td>205 65</td> <td>Surcharge- late filing fee or oath</td> <td>130</td> </tr> <tr> <td>127 50</td> <td>227 25</td> <td>Surcharge- late provisional filing fee or cover sheet</td> <td></td> </tr> <tr> <td>139 130</td> <td>139 130</td> <td>Non-English specification</td> <td></td> </tr> <tr> <td>147 2,520</td> <td>147 2,520</td> <td>For filing a request for reexamination</td> <td></td> </tr> <tr> <td>112 920*</td> <td>112 920*</td> <td>Requesting publication of SIR prior to Examiner action</td> <td></td> </tr> <tr> <td>113 1,840*</td> <td>113 1,840*</td> <td>Requesting publication of SIR after Examiner action</td> <td></td> </tr> <tr> <td>115 110</td> <td>215 55</td> <td>Extension for reply within first month</td> <td></td> </tr> <tr> <td>116 400</td> <td>216 200</td> <td>Extension for reply within second month</td> <td></td> </tr> <tr> <td>117 920</td> <td>217 460</td> <td>Extension for reply within third month</td> <td></td> </tr> <tr> <td>118 1,440</td> <td>218 720</td> <td>Extension for reply within forth month</td> <td></td> </tr> <tr> <td>128 1,890</td> <td>228 945</td> <td>Extension for reply within fifth month</td> <td></td> </tr> <tr> <td>119 320</td> <td>219 160</td> <td>Notice of Appeal</td> <td></td> </tr> <tr> <td>120 320</td> <td>220 160</td> <td>Filing a brief in support of an appeal</td> <td></td> </tr> <tr> <td>121 280</td> <td>221 140</td> <td>Requesting for oral hearing</td> <td></td> </tr> <tr> <td>138 1,510</td> <td>138 1,510</td> <td>Petition to institute a public use proceeding</td> <td></td> </tr> <tr> <td>140 110</td> <td>240 55</td> <td>Petition to revive – unavoidable</td> <td></td> </tr> <tr> <td>141 1,280</td> <td>241 640</td> <td>Petition to revive – unintentional</td> <td></td> </tr> <tr> <td>142 1,280</td> <td>242 640</td> <td>Utility issue fee (or reissue)</td> <td></td> </tr> <tr> <td>143 460</td> <td>243 230</td> <td>Design issue fee</td> <td></td> </tr> <tr> <td>144 620</td> <td>224 310</td> <td>Plant issue fee</td> <td></td> </tr> <tr> <td>122 130</td> <td>122 130</td> <td>Petitions to the Commissioner</td> <td></td> </tr> <tr> <td>123 50</td> <td>123 50</td> <td>Petitions related to provisional applications</td> <td></td> </tr> <tr> <td>126 180</td> <td>126 180</td> <td>Submission of Information Disclosure Stmt</td> <td></td> </tr> <tr> <td>581 40</td> <td>581 40</td> <td>Recording each patent assignment per property (times number of properties)</td> <td></td> </tr> <tr> <td>146 740</td> <td>246 370</td> <td>Filing a submission after final rejection (37 CFR § 1.129(a))</td> <td></td> </tr> <tr> <td>149 740</td> <td>249 370</td> <td>For each additional invention to be examined (37 CFR § 1.129(b))</td> <td></td> </tr> <tr> <td>179 740</td> <td>279 370</td> <td>Request for Continued Examination (RCE)</td> <td></td> </tr> <tr> <td colspan="2">Other fee (specify)</td> <td>Terminal Disclaimer (37 CFR § 1.20(d))</td> <td></td> </tr> <tr> <td colspan="2">*Reduced by Basic Filing Fee Paid</td> <td>SUBTOTAL (3)</td> <td>(\$)</td> </tr> </tbody> </table>		Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	105 130	205 65	Surcharge- late filing fee or oath	130	127 50	227 25	Surcharge- late provisional filing fee or cover sheet		139 130	139 130	Non-English specification		147 2,520	147 2,520	For filing a request for reexamination		112 920*	112 920*	Requesting publication of SIR prior to Examiner action		113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action		115 110	215 55	Extension for reply within first month		116 400	216 200	Extension for reply within second month		117 920	217 460	Extension for reply within third month		118 1,440	218 720	Extension for reply within forth month		128 1,890	228 945	Extension for reply within fifth month		119 320	219 160	Notice of Appeal		120 320	220 160	Filing a brief in support of an appeal		121 280	221 140	Requesting for oral hearing		138 1,510	138 1,510	Petition to institute a public use proceeding		140 110	240 55	Petition to revive – unavoidable		141 1,280	241 640	Petition to revive – unintentional		142 1,280	242 640	Utility issue fee (or reissue)		143 460	243 230	Design issue fee		144 620	224 310	Plant issue fee		122 130	122 130	Petitions to the Commissioner		123 50	123 50	Petitions related to provisional applications		126 180	126 180	Submission of Information Disclosure Stmt		581 40	581 40	Recording each patent assignment per property (times number of properties)		146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))		149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))		179 740	279 370	Request for Continued Examination (RCE)		Other fee (specify)		Terminal Disclaimer (37 CFR § 1.20(d))		*Reduced by Basic Filing Fee Paid		SUBTOTAL (3)	(\$)
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SUBMITTED BY Name (Print/Type) <u>Stephen R. May</u> Signature <u>Stephen R. May</u>		Registration No. <u>29,255</u> (Attorney/Agent)		Telephone <u>(509) 375-2387</u> Date <u>13 March 2002</u>	
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SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Yong Wang, et al.

Serial No: 10/036,332

Filed: December 24, 2001

For: CARBON NANOTUBE-
CONTAINING STTUCTIONS,
METHODS OF MAKING, AND
PROCESSES USING SAME



) Art Unit: 1754

) Examiner:

) File No: 12860-E CIP

) Date: March 13, 2002

REQUEST FOR CORRECTION OF FILING RECEIPT

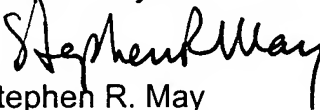
Box Missing Parts
Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

The Filing Receipt and Notice to File Missing Parts for the above referenced patent application correctly reflects the Attorney Docket Number as 12860E-1 as originally submitted. We have since changed the Attorney Docket Number to 12860-E CIP.

We respectfully request that you please change the Attorney Docket Number to reflect 12860-E CIP.

Respectfully Submitted,


Stephen R. May
Reg. No. 29,255

Stephen R. May (K1-53)
Intellectual Property Services
Battelle Memorial Institute
Pacific Northwest Division
P.O. Box 999
Richland, WA 99352
(509) 375-2387



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

12860-E CIP

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO.	DRAWINGS	TOT CLAIMS	IND CLAIMS
10/036,332	12/24/2001	1754	0.00	12860-E CIP	11	31	6

12860-E CIP

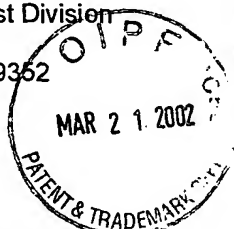
CONFIRMATION NO. 3250

FILING RECEIPT



OC000000007393758

Intellectual Property Services
Battelle Memorial Institute
Pacific Northwest Division
P.B Box 999
Richland, WA 99362



IDS: 3/24/02
FFD: 12/24/02

Docket ☒ N *em*
Database ☒ N *em*
Debit ☒ N *em*
Number *N/A*

Date Mailed: 01/30/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Wang, Residence Not Provided;

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted 01/30/2002

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

Title

Carbon nanotube-containing structures, methods of making, and processes using same

Preliminary Class

423

RECEIVED

FEB 06 2002

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